



THE GEORGIA ARCHIVES

KAREN HANDEL, SECRETARY OF STATE

DAVID W. CARMICHEAL, DIRECTOR

Records and Information Management Services State Agency Specific Schedules For SOS-Securities

| Record Title | Description | Retention | Legal Citation | Retention Classification | Archival Instructions | Number |
|---|--|-----------|----------------|--------------------------|-----------------------|----------|
| Cemetery and Funeral Services Registration Files | | 10 years | | Temporary - Short Term | | 0478-005 |
| Charitable Organizations, Professional Fund Raisers, & Professional Solicitors Registration Files | Documents relating to the registering charitable organizations (form C-100) and paid solicitors (form S-100) | 10 years | | Temporary-Short Term | | 99-0017 |
| Company License Permit Files | Documents relating to licensing companies to regulate sale of securities in the State of Georgia | 1 year | | Temporary-Short Term | | 81-197 |

| Record Title | Description | Retention | Legal Citation | Retention Classification | Archival Instructions | Number |
|--|---|-----------|----------------|--------------------------|-----------------------|---------|
| Hearings and Pleadings Files | Documents relating to official Administrative proceedings held by the Securities & Business Regulation Division of the Office of Secretary of State | Permanent | | Permanent | | 2000-02 |
| Incomplete/Withdrawn Securities Dealers Applications | documents relating to applying for registration as a securities dealer | 1 year | | Temporary-Short Term | | 81-34 |
| Interstate Issuers Securities Regulations | Documents relating to issuing permits to issuers of securities registered with the United States Securities and Exchange Commission, and applying for a permit to sell securities | 15 years | | Temporary-Long Term | | 81-196 |

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|---|--|-----------|----------------|--------------------------|-----------------------|---------|
| Interstate Mutual Fund Files | Documents relating to issuing permits to issuers of securities registered with the United States Securities and Exchange Commission, applying for a permit to sell securities | 15 years | | Temporary-Long Term | | 81-190 |
| Intrastate Securities Issuer Registration | Registration by qualification, registration by notification, small issue registration, nonprofit issuer registration, and documents and correspondence relating to these registrations | 10 years | | Temporary-Short Term | | 99-0015 |

| Record Title | Description | Retention | Legal Citation | Retention Classification | Archival Instructions | Number |
|---------------------------------------|---|-----------|----------------|--------------------------|-----------------------|---------|
| Investment Advisor Registration Files | Documents relating to review, examination, and issuance of a certificate of registration to give investment advice in Georgia | 10 years | | Temporary-Short Term | | 99-0016 |
| Securities Dealer Registration Files | Documents relating to registration, renewal, and withdrawal/termination of broker dealers | 10 years | | Temporary-Short Term | | 2000-01 |
| Securities Dealer Registration Files | Documents relating to registering persons as securities dealers | 5 years | | Temporary-Long Term | | 221-A |

| Record Title | Description | Retention | Legal Citation | Retention Classification | Archival Instructions | Number |
|---|--|-----------|--------------------|--------------------------|-----------------------|-------------|
| Securities Dealers Registration Renewals and Amendments | Documents relating to amending and renewing on an annual basis the registration of securities dealers, and reviewing of quarterly financial statements | 5 years | O.C.G.A. 10-5-3(h) | Temporary-Short Term | | 89-079 |
| Securities Investigations Files (Closed) | Documents relating to conducting investigations of legal improprieties in the sale of intra and inter-state securities | 10 years | O.C.G.A 10-4-14 | Temporary-Short Term | | 73-568-A |
| Securities Investigations Files (Closed) | Documents relating to conducting investigations of legal improprieties | 10 years | | Temporary-Short Term | | 19730568-04 |

| Record Title | Description | Retention | Legal Citation | Retention Classification | Archival Instructions | Number |
|--|---|-----------|----------------|--------------------------|--|---------|
| Securities Issuers Exemptions 97-107(J) Files | Documents relating to the exemption under Ga.Code Ann 97-107 (J) of issuers from registration requirements of the Securities Act | 2 years | | Temporary-Short Term | Transfer to Archives for permanent retention | 73-60 |
| Securities Salesman Registration Files | Documents relating to the review, examination, approval and withdrawal of registration to act as a non-NASD salesperson in the State of Georgia | 10 years | | Temporary-Short Term | | 2000-03 |
| Securities Salesman's Examination Files | Copies of securities salesman examination | 5 years | | Temporary-Short Term | | 219 |
| Securities Salesman's Registration Files In-Active Salesman's Card Files | Documents relating to Securities Salesman's registration files | 50 years | | Temporary-Long Term | | 74-32 |

| Record Title | Description | Retention | Legal Citation | Retention Classification | Archival Instructions | Number |
|--|--|-----------|----------------|--------------------------|-----------------------|--------|
| Withdrawn/Abandoned Securities Salesman Applications | Documents relating to applying for registration as a securities salesman | 1 year | | Temporary-Short Term | | 81-35 |